

# ASI CERTIFICATION CHAIN OF CUSTODY STANDARD



PRESENTED TO

# STOCKACH ALUMINIUM GmbH

CERTIFICATE  
NUMBER

98

ASI  
STANDARD

CHAIN OF CUSTODY  
(V1 2017)

CERTIFICATION  
LEVEL

FULL  
CERTIFICATION

ASI ACCREDITED  
AUDITOR

GUTCERT  
(AFNOR  
GROUP)

DATE OF ISSUE

3 OCTOBER 2020

DATE OF EXPIRY

2 OCTOBER 2023

CERTIFIED SINCE

3 OCTOBER 2020

AUTHORISED BY

A handwritten signature in white ink, appearing to be 'J. H.', written over a dark grey background.

Aluminium Stewardship Initiative Ltd  
ACN 606 661 125, Australia  
info@aluminium-stewardship.org

*Validity of this Certificate is subject to continued  
conformance with the applicable ASI Standard  
and can be verified at:*

**[www.aluminium-stewardship.org](http://www.aluminium-stewardship.org)**

CERTIFICATION SCOPE

Stockach aluminium remelt and casthouse operations  
in Germany.

# SUMMARY AUDIT REPORT

## CHAIN OF CUSTODY

## STANDARD

### OVERVIEW

MEMBER NAME	StockachAlu
ENTITY NAME	Stockach Aluminium GmbH
CERTIFICATION SCOPE	Stockach Aluminium remelt and casthouse operations in Germany.
SUPPLY CHAIN ACTIVITIES	<ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li></ul>
ASI STANDARD	<ul style="list-style-type: none"><li>Chain of Custody Standard V1</li></ul>
AUDIT TYPE	<ul style="list-style-type: none"><li>Initial Certification Audit (23 – 24 July 2020)</li><li>Surveillance Audit (26 April 2022)</li></ul>
AUDIT FIRM	GUTcert (AFNOR Group)
AUDIT DATE	<ul style="list-style-type: none"><li>23 – 24 July 2020 (Initial Certification Audit)</li><li>26 April 2022 (Surveillance Audit)</li></ul>
AUDIT REPORT SUBMISSION	<ul style="list-style-type: none"><li>10 September 2020 (Initial Certification Audit)</li><li>19 August 2022 (Surveillance Audit)</li></ul>
AUDIT SCOPE	<p><u>Initial Certification Audit (26 – 30 July 2021)</u></p> <p>The Audit Scope includes all integrated recycling of aluminium scrap (Remelting) and production of rolling slabs (Casthouse).</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li><li>Casthouses</li></ul> <p>All relevant Criteria in the ASI Chain of Custody Standard were included in the Audit Scope.</p> <p><u>Surveillance Audit (26 April 2022)</u></p> <p>The Audit Scope included the remelt and casting operations at Stockach Aluminium.</p> <p>Supply chain activities included in the Audit Scope:</p> <ul style="list-style-type: none"><li>Aluminium Re-melting/Refining</li></ul>

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- Casthouses

Criteria in the ASI Chain of Custody Standard relevant to the implementation and performance of the Chain of Custody system, in particular the material accounting and reporting to the ASI Secretariat, were included in the Audit Scope. The audit was undertaken as a 'desktop' exercise, consistent with the Entity's overall maturity level and the audit type.

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AUDIT  
OUTCOME

- Certification

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AUDIT  
METHODOLOGY  
DECLARATION

The Auditors confirm that:

- The information provided by the Entity is true and accurate to the best knowledge of the Auditor(s) preparing this Report.
- The findings are based on verified Objective Evidence relevant to the time period for the Audit, traceable and unambiguous.
- The Audit Scope and Audit methodology are sufficient to establish confidence that the findings are indicative of the performance of the Entity's defined Certification Scope.
- The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.

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CERTIFICATION  
PERIOD

3 October 2020 – 2 October 2023

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NEXT AUDIT  
TYPE

Re-Certification Audit

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NEXT AUDIT  
DUE DATE

2 October 2023

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CERTIFICATE  
NUMBER

98

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## SUMMARY OF FINDINGS

CRITERION	RATING	COMMENT
1 MANAGEMENT SYSTEM AND RESPONSIBILITIES		
1.1 ASI membership	Conformance	The Entity is an active ASI Member since December 2018 within the production and transformation membership class and has committed to ASI's membership obligations: <a href="https://aluminium-stewardship.org/about-/asi-members/stockachalu">https://aluminium-stewardship.org/about-/asi-members/stockachalu</a>
1.2 Management system	Conformance	The Entity has established a Management System that addresses all applicable requirements of the ASI CoC Standard. It has implemented relevant Policies, Systems, Procedures and Processes. The Management System includes a robust Material Accounting System based on the Entity's Materials Management System.
1.3 Management system reviews	Conformance	The Entity has established a mechanism for the periodic review and update of its Chain of Custody Management System, in line with the other facets of its integrated Management System.
1.4 Management representative	Conformance	The managing director has taken overall responsibility of the implementation of ASI Standards within the Entity. The specific requirements regarding ASI Chain of Custody are delegated to the specialists within the company (Quality, Sales & Purchasing, Controlling). Roles and responsibilities are defined in writing and are communicated within the Entity.
1.5 Training	Conformance	The Entity has conducted Chain of Custody specific training to relevant personnel and intends to raise awareness of all employees.
1.6 Record keeping	Conformance	The Entity has implemented measures to ensure that up-to-date records covering all applicable requirements of the ASI CoC Standard are maintained and retained for a minimum of five years. Specifics have been defined in a procedure.
1.7a Reporting to ASI (Inputs and Outputs)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included information on the Input and Output Quantities of CoC Materials for the calendar year.
1.7b Reporting to ASI (Input Percentage)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included information on the Input Percentage calculated for the calendar year. The first report was submitted in May 2022.

CRITERION	RATING	COMMENT
1.7c Reporting to ASI (Positive Balance)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included the maximum Positive Balance for the calendar year carried over to the subsequent Material Accounting Period if any.
1.7d Reporting to ASI (Internal Overdraw)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included the maximum Internal Overdraw for the calendar year if any, and the percentage of Input Quantity of CoC Material it represents.
1.7e Reporting to ASI (Eligible Scrap)	Conformance	The Entity has implemented processes for annual reporting to the ASI Secretariat which included the total Input Quantity of Eligible Scrap, with a breakdown by Post-Consumer Scrap and Pre-Consumer Scrap that is designated as CoC Material supplied directly from a CoC Certified Entity within the calendar year.
1.7f Reporting to ASI (ASI Credits from Casthouses)	Conformance	The Entity does not use ASI Credits, the reporting template does not contain this information.
1.7g Reporting to ASI (ASI Credits purchased)	Not Applicable	This Criterion of the ASI CoC Standard does not apply to the Entity, as there are no Post-Casthouse activities.
<b>2 OUTSOURCING CONTRACTORS</b>		
2.1 Outsourcing Contractors in CoC Certification Scope	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.2a Control of CoC Material	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.2b No further outsourcing	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.2c Risk assessment	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.3 Output Quantity	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
2.4 Verification and record-keeping	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.

CRITERION	RATING	COMMENT
2.5 Error management	Not Applicable	This Criterion is currently not applicable, as the Entity does not include Outsourcing Contractors within their CoC Certification Scope.
<b>3 PRIMARY ALUMINIUM: CRITERIA FOR ASI BAUXITE, ASI ALUMINA AND ASI LIQUID METAL</b>		
3.1a CoC Certification Scope – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.1b ASI Performance Standard – Bauxite Mining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2a CoC Certification Scope – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.2b ASI Performance Standard – Alumina Refining	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3a CoC Certification Scope – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
3.3b ASI Performance Standard – Aluminium Smelting	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
<b>4 RECYCLED ALUMINIUM: CRITERIA FOR ELIGIBLE SCRAP AND ASI LIQUID METAL</b>		
4.1a CoC Certification Scope – Aluminium Re-Melting/Refining	Conformance	By design (the Entity has an integrated re-melting and casting Process) it is ensured that ASI Liquid Metal is only produced in Compliance with this Criterion (4.1).
4.1b ASI Performance Standard – Aluminium Re-Melting/Refining	Conformance	The Entity has an integrated re-melting and casting process and ensured that ASI Liquid Metal is only produced in compliance with this Criterion. The integrated Casthouse is certified according to the ASI Performance Standard: <a href="https://aluminium-stewardship.org/about-asi/asi-members/stockachalu">https://aluminium-stewardship.org/about-asi/asi-members/stockachalu</a>
4.2a Pre-Consumer Scrap and Dross	Conformance	The Entity has established Procedures and processes to verify Pre-Consumer Scrap and Dross as designated CoC Materials. Internally generated Dross and scrap are re-fed into the production. These quantities are reflected in the Entity's Mass Balance System.
4.2b Post-Consumer Scrap	Conformance	Post-Consumer Scrap is only accounted for as Eligible Scrap if the Due Diligence assessment confirmed an acceptable risk level.
4.3a Supplier records	Conformance	The Entity has a robust Process in place to gather and verify information about recyclable scrap

CRITERION	RATING	COMMENT
		suppliers. The information can be easily retrieved in the Entity's accounting system.
4.3b Cash payments	Conformance	The company does not make any payment in cash as of 14.02.2019 as confirmed by the ledger.
5 CASTHOUSES: CRITERIA FOR ASI ALUMINIUM		
5.1a CoC Certification Scope – Casthouses	Conformance	The Entity's Casthouse is within the CoC Certification Scope, which is defined as Stockach Aluminium GmbH with its activities "Integrated recycling of aluminium scrap (Re-melting) and production of rolling slabs (Casthouse)".
5.1b ASI Performance Standard – Casthouses	Conformance	The Entity has achieved Certification against the ASI Performance Standard, as is shown on the ASI Website: <a href="https://aluminium-stewardship.org/about-ASI/ASI-members/stockachalu/">https://aluminium-stewardship.org/about-ASI/ASI-members/stockachalu/</a> . The Certification Scope is "Integrated recycling of aluminium scrap (Re-melting) and production of rolling slabs (Casthouse)".
5.2 Casthouse Products	Conformance	The Entity's Material Accounting System is designed to ensure that all input as well as output of CoC Material is identified by unique identification numbers. These numbers are traceable within the Entity's IT-System. All Output Quantity of ASI CoC Material can be linked to the Input Quantity of CoC Material for a given Material Accounting Period. ASI Aluminium will be stamped with a unique batch number, and physically marked as CoC Material.
6 POST-CASTHOUSE: CRITERIA FOR ASI ALUMINIUM		
6.1a CoC Certification Scope – Post-Casthouse	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1b ASI Performance Standard – Post-Casthouse	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
6.1c Sourcing ASI Aluminium	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
7 DUE DILIGENCE FOR NON-COC INPUTS AND RECYCLABLE SCRAP MATERIAL		
7.1a Responsible sourcing policy (anti-corruption)	Conformance	The Entity has issued and communicated a supplier Code of Conduct ( <a href="https://www.stockachalu.com/app/download/7603654181/Lieferanten+Verhaltenskodex.pdf?t=1595519058">https://www.stockachalu.com/app/download/7603654181/Lieferanten+Verhaltenskodex.pdf?t=1595519058</a> ) and also a Responsible Sourcing Policy (available on the Entity's s website: <a href="https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+202">https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+202</a>

CRITERION	RATING	COMMENT
		<a href="#">0.pdf?t=1595519122</a> . Both documents address Anti-Corruption.
7.1b Responsible sourcing policy (responsible sourcing)	Conformance	The Entity has issued and communicated a supplier Code of Conduct ( <a href="https://www.stockachalu.com/app/download/7603654181/Lieferanten+Verhaltenskodex.pdf?t=1595519058">https://www.stockachalu.com/app/download/7603654181/Lieferanten+Verhaltenskodex.pdf?t=1595519058</a> ) and a 'Responsible Sourcing Policy' ( <a href="https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+2020.pdf?t=1595585928">https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+2020.pdf?t=1595585928</a> ) in line with Criterion 2.4 (Responsible Sourcing) of the ASI Performance Standard.
7.1c Responsible sourcing policy (human rights due diligence)	Conformance	The Entity has issued and communicated a 'responsible sourcing policy' ( <a href="https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+2020.pdf?t=1595585928">https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+2020.pdf?t=1595585928</a> ). This Policy addresses Criterion 9.1 (Human Rights Due Diligence) of the ASI Performance Standard.
7.1d Responsible sourcing policy (conflict affected and high risk areas)	Conformance	The Entity has issued and communicated a 'responsible sourcing policy' ( <a href="https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+2020.pdf?t=1595585928">https://www.stockachalu.com/app/download/7729245581/Nachhaltige+Einkaufspolitik+StockachAlu+2020.pdf?t=1595585928</a> ). This Policy addresses Criterion 9.9 (Conflict-Affected and High-Risk Areas) of the ASI Performance Standard.
7.2 Risk assessment	Conformance	The Entity has established a Due Diligence Process to identify and evaluate risks in the supply chain. Risk levels of relevant suppliers are rated as low or acceptable.
7.3 Complaints mechanism	Conformance	The Entity has a system in place to receive and handle feedback, including complaints and grievances of Stakeholders. This mechanism is in accordance with Criterion 3.2 of the ASI Performance Standard. To ease the communication, a dedicated email-address has been established where Stakeholders can direct their concerns: <a href="mailto:Compliance@stockachalu.com">Compliance@stockachalu.com</a>
8 MASS BALANCE SYSTEM: COC MATERIAL AND ASI ALUMINIUM		
8.1 Material Accounting System	Conformance	The Entity's Management System includes a Material Accounting System that records Input Quantity and Output Quantity of CoC Material and Non-CoC Material, by mass. The Material



CRITERION	RATING	COMMENT
		Accounting System is based in the Entity's IT System.
8.2a Post-Consumer Scrap	Conformance	The Entity has a Material Accounting System developed to govern and report on Input Quantity of Post-Consumer Scrap.
8.2b Pre-Consumer Scrap (total)	Conformance	The Entity has a Material Accounting System developed to govern and report on Input Quantity of Pre-Consumer Scrap (total).
8.2c Pre-Consumer Scrap (Eligible Scrap)	Conformance	The Entity has a Material Accounting System developed to govern and report on Input Quantity of Pre-Consumer Scrap that is Eligible Scrap, where it is supplied directly from a CoC Certified Entity.
8.3 Material Accounting Period	Conformance	The Entity's Material Accounting Period is 12 months starting from the first day of the calendar year. This has been specified in writing in an internal procedure.
8.4 Input Percentage	Not Applicable	This Criterion does not apply, as the Entity is active as an integrated Re-melter and Casthouse (see Criterion 8.5).
8.5 Input Percentage (Aluminium Re-Melting and Refining)	Conformance	The Entity's Material Accounting System calculates the Input Percentage regarding re-melting/refining in line with the requirements in the ASI CoC Standard. The Entity calculates and records the Input Percentage for a given Material Accounting Period. The Entity uses consistent units (tonnes) and adequate Material Conversion rates in its calculations.
8.6 Output Quantity determination	Conformance	The Input Percentage for a given Material Accounting Period is used to calculate the Output Quantity (by mass).
8.7 Output Quantity designation	Conformance	By System design it is ensured that the Output Quantity of CoC Material, which may form part of the total production, will be designated as 100% of the CoC Material.
8.8 Output Quantity – Pre-Consumer Scrap	Not Applicable	This Criterion is Not applicable to the Entity, as all aluminium scrap and Dross is being recycled internally and does not leave the system boundary.
8.9 Outputs not exceed inputs	Conformance	By system design it is ensured that the total output of CoC Material and Eligible Scrap does not proportionally exceed the Input Percentage as applied to total input of CoC Material and Eligible Scrap over the Material Accounting Period.

CRITERION	RATING	COMMENT
8.10a Internal Overdraws (not exceed 20%)	Conformance	The Entity's Material Accounting System is designed to ensure that max. 20% overdraw of total Input Quantity of CoC Material will happen within the Material Accounting Period in case of force majeure.
8.10b Internal Overdraws (not exceed affected amount)	Conformance	The Entity's Material Accounting System is designed to ensure that the Internal Overdraw will not exceed the amount of CoC Material affected by the force majeure situation.
8.10c Internal Overdraws (period to make up)	Conformance	The Entity's Material Accounting System is designed to ensure that the Internal Overdraw will be made up within the subsequent Material Accounting Period.
8.11a Positive Balance (carry over)	Conformance	The Entity has established a Material Accounting System, which is designed to ensure that a Positive Balance is identified and carried over. There was no carry-over in the recent balance for 2021.
8.11b Positive Balance (expiry)	Conformance	The Entity's Material Accounting System is designed to ensure that any Positive Balance of output CoC Material at the end of the Material Accounting Period will be carried over to the subsequent period and that such carry over will expire at the end of that period if not drawn down.
9 ISSUING COC DOCUMENTS		
9.1 Shipments and transfers	Conformance	The Entity has established an ASI Chain of Custody Procedure to ensure that a CoC Document with CoC information accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities.
9.2a Date of issue	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including date of issue.
9.2b Reference number	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including reference number.
9.2c Issuing Entity	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note),

CRITERION	RATING	COMMENT
		including the identity, address and CoC Certification Number.
9.2d Receiving customer	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the identity and address of the customer receiving the CoC Material, and if it is another CoC Certified Entity, their CoC Certification Number.
9.2e Responsible employee	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the name of the responsible employee.
9.2f Conformance statement	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including a statement confirming that “The information provided in the CoC Document is in Conformance with the ASI CoC Standard.”
9.2g Type of CoC Material	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the type of CoC Material in the shipment.
9.2h Mass of CoC Material	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the mass of CoC Material in the shipment.
9.2i Mass of total material	Conformance	The Entity ensures that a CoC Document accompanies each shipment or transfer of CoC Material dispatched to other CoC Certified Entities. The Entity has integrated CoC information in the accompanying CoC Document (delivery note), including the mass of total Material in the shipment.
9.3a Sustainability Data (optional)	Conformance	The Entity has established a method to calculate its Greenhouse Gas (GHG) Emissions (Scope 1 and 2). The applied method is specific to stationary combustion and is publicly available:

CRITERION	RATING	COMMENT
		<a href="https://ghgprotocol.org/calculation-tools#cross_sector_tools_id">https://ghgprotocol.org/calculation-tools#cross_sector_tools_id</a> The Entity has included GHG data in the accompanying CoC Document (delivery note).
9.3b Sustainability Data (passing on)	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.3c Post-Casthouse ASI Certification status	Not Applicable	This Criterion is not applicable to the Entity's Certification Scope.
9.4 Supplementary Information (optional)	Not Applicable	This Criterion is not applicable, as the Entity does not intend to disclose Supplementary Information on CoC Documents.
9.5 Response to verification requests	Conformance	The commercial team is responsible for handling the CoC requests from customers. Relevant personnel is aware of their duties under ASI CoC Standard. The system appears to be robust to document verification requests, errors, corrective actions and any potential preventive measures to meet ASI Chain of Custody Criteria.
9.6 Error management	Conformance	The Entity has implemented and integrated an error management process within its Quality Management System. Non-conformities, root causes and corrective actions are identified and monitored by the Entity's commercial team and management.
10 RECEIVING COC DOCUMENTS		
10.1 Verify required information included	Conformance	The Entity has implemented a procedure with mandatory verification steps to review the completeness of received CoC Documents as required by the ASI Chain of Custody Standard. At the time of the Audit, there were no examples of effective implementation as the Entity has not yet sourced CoC Material.
10.2 Verify consistency with shipments	Conformance	The Entity has implemented a procedure with verification steps to review the consistency of received CoC Documents as required by the ASI Chain of Custody Standard. At the time of the Audit, there were no examples of effective implementation as the Entity has not yet sourced CoC Material.
10.3 Verify supplier CoC Certification status	Conformance	The Entity's procedure "supplier evaluation" specifies annual verification of the validity and scope of the supplier's ASI CoC Certification. Due to the recent implementation of the ASI CoC Standard, suppliers have been evaluated and checked once.

CRITERION	RATING	COMMENT
10.4 Error management	Conformance	A system to deal with actual and potential errors is in place and specified in an internal procedure. As, at the time of the Audit, the Entity had not yet processed ASI CoC Material, effectiveness of implementation could not be verified.
11 MARKET CREDITS SYSTEM: ASI CREDITS		
11.1a Material Accounting System – allocation	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.1b Link to Casthouse Products	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.1c No double counting	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.1d No Positive Balance for ASI Credits	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.2a Date of issue	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.2b Reference number	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.2c Issuing Entity	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.2d Receiving Entity	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.2e Conformance statement	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.2f ASI Credits statement	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.2g Quantity	Not Applicable	This Criterion is not applicable as the Entity does not intend to use the Market Credit System for the time being.
11.3a CoC Certification Scope – purchasing ASI Credits	Not Applicable	This Criterion is not applicable as the Entity has no Post-Casthouse activities.

CRITERION	RATING	COMMENT
11.3b Material Accounting System – purchasing	Not Applicable	This Criterion is not applicable as the Entity has no Post-Casthouse activities.
11.3c Expiry	Not Applicable	This Criterion is not applicable as the Entity has no Post-Casthouse activities.
11.3d No re-trading	Not Applicable	This Criterion is not applicable as the Entity has no Post-Casthouse activities.
11.3e No allocation to physical products	Not Applicable	This Criterion is not applicable as the Entity has no Post-Casthouse activities.
11.3f Verify supplier CoC Certification status	Not Applicable	This Criterion is not applicable as the Entity has no Post-Casthouse activities.
11.3g Five years maximum for ASI Credits purchasing	Not Applicable	This Criterion is not applicable as the Entity has no Post-Casthouse activities.
<b>12 CLAIMS AND COMMUNICATIONS</b>		
12.1a ASI Claims Guide	Conformance	The Entity's internal procedure ensures that any external communication is consistent with the ASI Claim Guide. Any external communication is controlled by the commercial team and/or management.
12.1b Verifiable evidence	Conformance	The Entity has established an internal procedure to ensure any external communication is consistent with the ASI Claim Guide and only verifiable claims are made. At the time of the Audit, the Entity did not yet make claims and/or representations about CoC Material.
12.1c Employee training	Conformance	The Entity has established an internal procedure and conducted trainings to ensure any external communication is consistent with the ASI Claim Guide.

#### **Document Control and Version History**

Revision	Date	Notes
0	3 October 2020	Initial Certification Audit - Full Certification
1	1 September 2022	Surveillance Audit